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# **3 FAH-1 H-2350 PERSONNEL RECORDS**

(*CT:POH-158; 06-28-2013*)  
(*Office of Origin: HR/EX*)

## **3 FAH-1 H-2351 GENERAL PROVISIONS**

### **3 FAH-1 H-2351.1 Authority**

(*CT:POH-126; 03-23-2007*)

(*State Only*)

(*Applies to Foreign Service and Civil Service Employees*)

These regulations are issued under the authority of:

- (1) Executive Order 12107;
- (2) 5 U.S.C. 301;
- (3) 5 U.S.C. 552a;
- (4) 5 U.S.C. 4305;
- (5) 5 U.S.C. 4315;
- (6) 5 CFR 293;
- (7) 5 CFR 297;
- (8) The Office of Personnel Management (OPM) Guide to Personnel Recordkeeping;
- (9) Sections 206(a), 603, and 604 of the Foreign Service Act of 1980; and
- (10) 5 FAH-4, Records Management Handbook.

### **3 FAH-1 H-2351.2 Personnel Records Defined**

(*CT:POH-126; 03-23-2007*)

(*State Only*)

(*Applies to Foreign Service and Civil Service Employees*)

**Personnel records:** Any personnel information maintained in a system of records that is:

- (1) Retrieved by an employee's name or an identifying number, symbol, or other identifier assigned to an employee; and
- (2) Needed by management for personnel management programs or

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processes.

## **3 FAH-1 H-2351.3 Applicability**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

These regulations apply to all employees of the Department of State and, where specifically so provided, to employees of other agencies who may be assigned or detailed to the Department.

## **3 FAH-1 H-2352 ACCESS TO OFFICIAL PERSONNEL FOLDERS (OPFS)**

### **3 FAH-1 H-2352.1 Restrictions on Access**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. Official personnel folders (OPFs) contain personal information concerning current or former employees which must be protected against any unwarranted invasion of employees' personal privacy. (See 3 FAM 2352.4-2 for policy concerning access to personnel records by Department officials.) Employees are not permitted to withdraw their own OPFs or other personnel records.
- b. Foreign Service employees may request access to their personnel records through their career development officer.
- c. Civil Service employees may obtain access to their personnel records through the human resources section in their bureau of assignment.
- d. Both Foreign Service and Civil Service employees may also obtain access to their personnel records through procedures prescribed by the Department in accordance with the Privacy Act (5 U.S.C. 552a), found at Title 22 of the Code of Federal Regulations, Part 171, Subpart D (22 CFR 171 (D)).
- e. Former employees may request access in accordance with the Privacy Act. OPFs of former Foreign Service employees are stored at the National Personnel Records Center (NPRC) in St. Louis, Missouri. Performance folders are stored at the Washington National Records Center (WNRC) in Suitland, Maryland. Access to these OPFs will be made through the Department's Records and Information Management Division (HR/EX/RIM). Requests from former Foreign Service employees for access to such records should be submitted under the Privacy Act procedures (22 CFR 171 (D)).
- f. OPFs of former Civil Service employees are stored at NPRC, St. Louis, MO.

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Access to these folders will be provided by OPM under procedures contained in its regulations and the Guide to Personnel Recordkeeping.

## **3 FAH-1 H-2352.2 Access within the Department**

(CT:POH-158; 06-28-2013)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. Access to and use of official personnel folders (OPFs) must be restricted to employees who have a legitimate need for personnel records. These employees are defined as follows:
  - (1) Principal officers of the Department (the Secretary, the Deputy Secretary, and the Under Secretaries) and authorized users of the Bureau of Human Resources (HR);
  - (2) Bureau executive directors, through the appropriate HR assignments branch for dissemination to their superiors in the case of:
    - (a) Employees who are candidates for positions at the deputy assistant secretary or deputy chief of mission level, and special assistants or secretaries to ambassadors or Assistant Secretaries and above; and
    - (b) Employees who are candidates for assignment to other positions of unusual sensitivity, subject to approval by a Deputy Assistant Secretary for Human Resources by written request justifying the need to see the record in each individual case;
  - (3) Attorneys in the Office of the Legal Adviser (L), as necessary, in grievance, Equal Employment Opportunity (EEO), Freedom of Information Act (FOIA), or other cases assigned to them;
  - (4) Authorized investigative agents of the Bureau of Diplomatic Security (DS) to carry out their assigned investigative functions;
  - (5) Medical officers in the Office of Medical Services (M/MED) in the performance of their assigned responsibilities;
  - (6) Employees of the Office of Inspector General (OIG), as necessary, to conduct audits, inspections, and investigations pursuant to the provisions of the Inspector General Act of 1978 (Public Law 95-452), as amended, and Section 209 of the Foreign Service Act (Public Law 96-465), as amended; and attorneys in the Office of Counsel within the OIG, as necessary, in grievance, EEO, FOIA, or other cases assigned to them;
  - (7) Office of Civil Rights (S/OCR) personnel, EEO investigators, counselors, or authorized representatives, as required, in handling specific EEO complaints;
  - (8) Bureau of Human Resources, Grievance Staff (HR/G) personnel for those cases specifically brought under the grievance procedures of Chapter 11 of

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the Foreign Service Act and 3 FAM 4400, Foreign Service Grievance System; the Foreign Service Grievance Board, grievant, and authorized representatives of the grievant, if requested through HR/G, or directed by the board;

- (9) Members of Foreign Service selection boards as set forth in the applicable precepts for the boards;
- (10) A designated representative of a member of the Foreign Service provided that:
  - (a) The designation is in writing either by letter with a signed, notarized statement, or telegram (indicating in the telegram that a notarized statement is being sent); and
  - (b) The written statement specifically authorizes the representative to review the employee's performance folder, administrative OPF, or specific portions thereof. Any document designating a representative shall remain in effect for 60 days from the date of the document unless otherwise specified;
- (11) A named representative of the exclusive bargaining agent for the Foreign Service, so long as that representative has been specifically designated in writing by the employee via email or other communication. The written statement authorizes the representative to review the performance folder, administrative OPF, or both. Such document shall remain in effect for 60 days from the date of the document unless otherwise specified;
- (12) The Board of the Foreign Service, as required, in the performance of its duties;
- (13) The Board of Examiners of the Foreign Service (HR/REE/EXAM/BEX), as required, in the performance of its duties;
- (14) Bureau executive offices in the performance of required administrative functions in serving personnel assigned to their areas of responsibility (administrative OPFs only);
- (15) Employees in the Bureau of *the Comptroller and Global Financial Services (CGFS)* in computing prior service credit, making retroactive salary payments, determining or adjusting deductions for employee benefits, and similar fiscal matters (administrative OPFs only);
- (16) Employees in the Office of Casualty Assistance (DGHR/OCA) in cases of injury or death in service (administrative OPFs only); and
- (17) Employees of the Bureau of Human Resources who have an authorized need for OPFs in the performance of official duties. (See 3 FAH-1 H 2352.3-2 for charge-out procedure.)

### **3 FAH-1 H-2352.3 Access by Other Federal Agencies**

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### **and Other Entities**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

For the purposes specified in 3 FAH-1 H-2352.3-1 and 3 FAH-1 H-2352.3-2, authorized officials of other Federal agencies and other entities may review official personnel folders (OPFs) of Department employees.

### **3 FAH-1 H-2352.3-1 Use by the Office of Personnel Management (OPM)**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

The Office of Personnel Management (OPM) may use or borrow the official personnel folders (OPFs) of Department of State Civil Service and Foreign Service employees at any time. The most common types of routine use include:

- (1) Periodic reviews or audits of personnel files and programs;
- (2) Examination of Civil Service employee complaints regarding the validity of specific documents in these files;
- (3) Transmission of data for the automated Central Personnel Data File (CPDF) or Executive Personnel Management Data System (EPMD) or for other purposes under E.O. 12107;
- (4) Exchange of statistical data, including test scores, related to Department and Civil Service examinations for analysis, comparability, and validation purposes; and
- (5) Submission of information concerning pay, benefits, retirement deductions, etc., necessary for OPM to carry out its government-wide personnel management functions.

### **3 FAH-1 H-2352.3-2 Review by Other Agencies and Entities**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

Other agencies and entities that may review the official personnel folders (OPFs) of Department of State Civil Service and Foreign Service employees include:

- (1) Accredited investigative agents of any Federal agency to carry out assigned investigative functions pursuant to a written request by an official of at least office-director level specifying the necessity for such access;
- (2) Authorized officials of the Agency for International Development (USAID) in

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connection with proposed details of employees or consideration by selection boards (the Career Development and Training Division of the Bureau of Human Resources (HR/CDA/CDT) will approve these types of reviews); and

- (3) Authorized officials of other Federal agencies, international organizations, or State and local governments, in cases where Foreign Service employees are being considered for detail, assignment, or secondment to the agency or organizational entity concerned, when such review is approved by HR/CDA/CDT.

## **3 FAH-1 H-2352.4 Access by Data Subject**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service and Civil Service Employees)*

- a. As indicated in 3 FAH-1 H-2352.1, the Privacy Act grants employees access to any name-retrievable file maintained on them by the Bureau of Human Resources (HR). Employees are not allowed to borrow their own files. (See 3 FAM 2352.4-5.)
- b. This right of access does not apply to policy or subject files unless a request is submitted and granted under the Freedom of Information Act (5 U.S.C. 552). (See 22 CFR 171 for procedures for filing requests under the above cited Acts.)
- c. Because of the sensitive nature of information contained in personnel files, every effort must be made to restrict their use to those employees with an official need for access to the files.

## **3 FAH-1 H-2352.5 Disposition of Inactive Folders**

### **3 FAH-1 H-2352.5-1 Official Personnel Folders (Administrative)**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service and Civil Service Employees)*

- a. Administrative official personnel folders (OPFs) of inactive employees are retired to the National Personnel Records Center (NPRC) one year after separation unless requested by another Federal agency in connection with an offer of employment.
- b. The OPF is retained by NPRC under Federal Property Management Regulations issued by the National Archives and Records Administration (NARA).

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### **3 FAH-1 H-2352.5-2 Performance Folders**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service and Civil Service Employees)*

- a. **Civil Service employee performance folder (EPF):** When a Civil Service employee (other than a member of the Senior Executive Service (SES)) transfers to another agency or separates from the Service, any rating of record which is four years old or less and the performance plan upon which the rating was based are placed in the official personnel folder (OPF) and forwarded to the gaining agency or NPRC, as appropriate.
- b. **Senior Executive Service (SES) EPF:** The records of SES appointees (other than Presidential appointees) shall be maintained for five consecutive years from the date the appraisal is issued beginning with the effective date of the appointment. When a member of the SES moves to another agency or separates from the Service, any rating of record which is five years old or less and the performance plan upon which it is based, and all other related documents will be removed from the EPF, placed in the OPF, and transferred to the gaining agency or National Personnel Records Center (NPRC), as appropriate. Performance records of SES Presidential appointees shall be retained and disposed as required by the Guide to Personnel Recordkeeping.
- c. **Foreign Service performance folder:** The performance folders of Foreign Service employees who separated prior to 1975 were retired to NRPC with the related administrative OPFs. Performance folders for employees separating in 1975 and subsequent years have been transferred to Washington National Records Center (WNRC) to be retained until 15 years after separation of the employee and then disposed under an approved records control schedule. As earlier OPFs in NRPC are found to be eligible for disposal, they likewise will be destroyed.

### **3 FAH-1 H-2352.5-3 Reference Service on Retired Folders**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service and Civil Service Employees)*

All requests for the return of inactive official personnel folders (OPFs) from either the National Personnel Records Center (NPRC) or Washington National Records Center (WNRC) must be submitted to HR/EX/RIM who will take the necessary steps to retrieve the desired folders and control their handling and use while in the Department. In the case of reemployment of a former employee, the prior service records will be merged with the new OPF. All other inactive folders will be returned to NRPC or WNRC when no longer needed for reference purposes.

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**3 FAH-1 H-2352.6 Records Control System****3 FAH-1 H-2352.6-1 Purpose**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

The Records and Information Management Division of the Bureau of Human Resources (HR/EX/RIM) utilizes an automated centralized personnel records control system. The system provides immediate on-line determination of the status and location of official folders (Foreign Service Administrative, Foreign Service Performance, Civil Service Administrative, Merged Records Personnel Folder, and Employee Performance File) and a follow up control system on charged-out folders. The system permits an instant check on authorized users of official personnel folders (OPFs) and employee performance folders (EPFs), specifying the type(s) of folders involved, and a printout of the list of users at periodic intervals for update purposes. The system also makes possible a periodic check on the status of requests to Federal records centers or other Federal agencies for inactive personnel folders for prior service and pre-employment consideration.

**3 FAH-1 H-2352.6-2 Charge-Out Procedure**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

An official personnel folder (OPF) charged out to one authorized user must never be forwarded to an individual in another office even though that person may also be an authorized user. The loan or transfer of such folders to any other employee could result in disciplinary action or fines under the Privacy Act in cases of willful and knowing unauthorized disclosure. Each charge-out of an OPF must be made and recorded by the Records and Information Management Division of the Bureau of Human Resources (HR/EX/RIM). Normally, an OPF should be returned within 10 workdays although there may be circumstances justifying longer retention which may be authorized by HR/EX/RIM on a case-by-case basis. HR/EX/RIM may request return of an OPF at any time and it must be returned promptly.

**3 FAH-1 H-2352.6-3 Maintenance and Disposition**

(CT:POH-137; 06-09-2009)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

The Director General has responsibility for proper maintenance and disposition of all personnel files. Technical advice and assistance is available upon request from

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the Chief, Records and Information Management Division of the Bureau of Human Resources (HR/EX/RIM). Special care must be exercised not to destroy any personnel records without proper disposal authorization, under penalty of heavy fines imposed by the Records Disposal Act of 1943, as amended, and the Federal Records Act of 1950. Approved disposition schedules regarding personnel records may be accessed from the Office of Information Programs and Services (A/GIS/IPS) Intranet Web site. They are also available upon request from the Chief, HR/EX/RIM.

### **3 FAH-1 H-2352.6-4 Filing and Removal of Documents**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. Documents and information may not be added to or removed from official personnel folders (OPFs) except by members of the Records and Information Management Division of the Bureau of Human Resources (HR/EX/RIM).
- b. Possible problems relating to arrangement, contents, or misfiled information should be brought immediately to the attention of the Chief, HR/EX/RIM.

### **3 FAH-1 H-2353 OTHER OFFICIAL PERSONNEL RECORDS**

(CT:POH-137; 06-09-2009)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. No additional name-retrievable files on Department personnel should be established by any office in the Department without consulting with the Chief, Records and Information Management Division of the Bureau of Human Resources (HR/EX/RIM).
- b. The establishment of each additional system of name-retrievable files must be cleared by the Office of Information Programs and Services (A/GIS/IPS) and may need to be listed in the Federal Register pursuant to provisions of the Privacy Act.

### **3 FAH-1 H-2354 PROCEDURES AND GUIDELINES FOR POST PERSONNEL RECORDS**

#### **3 FAH-1 H-2354.1 General**

(CT:POH-126; 03-23-2007)

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*(State Only)*

*(Applies to Foreign Service and Civil Service Employees)*

The post working files of U.S. citizen employees and consular agents must be maintained separately from folders of Foreign Service national (FSN) employees and personal services contract (PSC) employees.

## **3 FAH-1 H-2354.2 Administrative Records**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service and Civil Service Employees)*

The administrative working files at post should be arranged similarly to administrative official personnel folders (OPFs). At the discretion of the management or human resources officer, additional papers may be added to the file if deemed essential to the employee's service record for the post's reference needs.

## **3 FAH-1 H-2354.3 Performance Records**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service and Civil Service Employees)*

- a. Copies of performance ratings retained at post are maintained separately from other personnel files. They are kept in the confidential file of the principal officer, a designated subordinate, the management officer, or human resources officer, as determined by the principal officer. Upon transfer of an employee from post, the copies of the employee's ratings are held for one year and then destroyed.
- b. Access to performance ratings should be restricted to the following officials on a need-to-know basis:
  - (1) Principal officer and deputy;
  - (2) Management counselor/officer;
  - (3) Human resources officer;
  - (4) Employees of the Office of Inspector General (OIG);
  - (5) Authorized investigative agents of the Bureau of Diplomatic Security (DS);
  - (6) Regional and post security officers;
  - (7) Accredited investigators; and
  - (8) Equal Employment Opportunity (EEO) counselors, investigators, attorneys in the Office of the Legal Adviser (L), and Federal Women's Program (FWP) coordinators, upon presentation of proper identification in handling specific

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EEO discrimination complaints. Any other access to performance records must have written consent of the employee concerned.

- c. An accounting of disclosure need not be made in cases of routine use by authorized Department or post officials, accredited investigators, EEO counselors, EEO investigators, FWP coordinators, as prescribed in 3 FAM 2352.4-2, or when disclosures are made pursuant to the Freedom of Information Act (FOIA). Any other disclosure inside or outside the post, even if authorized by the employee, must be recorded. This accounting of disclosure must show the name of the employee file, the name and address of the person to whom the file is disclosed, the purpose and date of disclosure, and whether or not the employee's consent was obtained. Since the accounting of disclosure must be retained for five years, a separate log is recommended for disclosure records.

## **3 FAH-1 H-2354.4 Security Records**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

Correspondence or reports relating to security investigations on U.S. citizen employees are not retained at post. They should be forwarded to the regional security officer having operational jurisdiction over the post. Posts not having a resident regional security office may retain file copies of documents for a period not to exceed six months. After that time, all copies must be destroyed or forwarded to the appropriate regional security officer.

## **3 FAH-1 H-2354.5 Restrictions on Access**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

Under Section 604 of the Foreign Service Act and provisions of the Privacy Act, only those employees authorized by the principal officer of the post, or designee, may examine personnel records. Such authorization is given only to employees whose official duties necessitate access to the records.

## **3 FAH-1 H-2354.6 Disposition of Files**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

The post personnel record of a U.S. citizen employee is never transferred to another post or retired to the Department. The records should be destroyed one year after transfer or separation of the employee. The Department's 5 FAH-4,

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Records Management Handbook, contains instructions for proper disposition of other post personnel and medical records.

## **3 FAH-1 H-2354.7 Physical Protection**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

The same requirements for proper storage and handling of personnel records cited in 3 FAH-1 H-2355.4 apply to post files.

## **3 FAH-1 H-2355 CONTENTS OF FOLDERS**

### **3 FAH-1 H-2355.1 Foreign Service Official Personnel Folder (OPF) (Administrative)**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Foreign Service Employees)

- a. This Foreign Service official personnel folder (OPF), referred to as the administrative folder, contains administrative documents of U.S. citizen Foreign Service employees, generally following the arrangement and contents prescribed for Civil Service administrative OPFs.
- b. A list of the types of documents usually found in the administrative OPF is provided in 3-FAH-1 H-2358.
- c. **Foreign Service performance folders:** In keeping with the intent of access restrictions stated in Section 604 of the Foreign Service Act, the Foreign Service performance folder is a separate folder which contains material on U.S. citizen Foreign Service employees. It contains documents which provide information on an employee's career development, performance evaluation, potential, and training.

### **3 FAH-1 H-2355.2 Civil Service Administrative Official Personnel Folder (OPF) and Merged Records Personnel Folder (MRPF)**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Civil Service Employees)

- a. The arrangement and contents of Civil Service administrative official personnel folders (OPFs) and merged records personnel folders (MRPFs) are prescribed by

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the Office of Personnel Management (OPM) in the Guide to Personnel Recordkeeping.

- b. Lists of the types of documents usually found in these folders, including Experts, Consultants, and members of the Senior Executive Service (SES) are provided in 3 FAH-1 H-2356 and 3 FAH-1 H-2357.
- c. **Civil Service Employee performance folder (EPF) including Senior Executive Service (SES):** The arrangement and contents of Civil Service employee performance folders (EPFs) including those of the Senior Executive Service (SES) are prescribed by the Office of Personnel Management (OPM) in the Guide to Personnel Recordkeeping. A list of the types of documents usually found in the EPF is provided in 3 FAH-1 H-2356.

### **3 FAH-1 H-2355.3 Material Excluded from the Official Personnel Folder (OPF)**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service and Civil Service Employees)*

The following types of material are excluded from official personnel folders (OPFs):

- (1) Medical files, which are maintained by the Office of Medical Services (M/MED);
- (2) Investigative files, which are maintained by the Bureau of Diplomatic Security (DS);
- (3) Classified documents, which are maintained by the originating office;
- (4) Material maintained by the Examination Division (HR/REE/EXAM) or the Secretariat of the Board of Examiners (HR/REE/EXAM/BEX) as part of the Foreign Service Candidate examination process;
- (5) Photographs of the employee;
- (6) Investigative, inspection, audit, or other files, which are maintained by the Office of Inspector General (OIG); and
- (7) Other documents excluded from the OPF can be found in the Guide to Personnel Recordkeeping.

### **3 FAH-1 H-2355.4 Storage and Handling**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service and Civil Service Employees)*

- a. The personal and sensitive information contained in official personnel folders (OPFs) requires the same physical protection in handling and storage as classified material.

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- b. The privilege of withdrawing OPFs from the Records and Information Management Division of the Bureau of Human Resources (HR/EX/RIM) is restricted to those persons whose duties require that they have access to OPFs. During the time of withdrawal and whenever not in actual use, the folders must be stored in locked cabinets to ensure the security and confidentiality required by the Privacy Act.
- c. OPFs must be picked up from and returned to HR/EX/RIM by an appropriately authorized user or designated representative.

## **3 FAH-1 H-2356 CIVIL SERVICE EMPLOYEES**

### **3 FAH-1 H-2356.1 Right (Permanent) Side of the Official Personnel Folder (OPF)**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to Civil Service Employees)

The following documents are filed on the right (permanent) side of the Civil Service official personnel folder (OPF):

- (1) Prior Federal civilian service or transcript(s) thereof;
- (2) Form SF-75, Request for Preliminary Employment Data;
- (3) Form SF-171, Application for Federal Employment; Form OF-612, Instructions for Optional Application for Federal Employment; or resumé; and, if applicable, any superior qualifications documents and/or statements;
- (4) Form SF-144, Statement of Prior Federal Service (civilian and military);
- (5) Form DD-214, Report of Separation from the Armed Forces of the United States, or Form SF-180, Request Pertaining to Military Records; also veteran's preference claims;
- (6) Form DSP-80, Statement Regarding Actions on Behalf of Foreign Principals (Discontinued);
- (7) OPM—Notice of Rating, Notice of Results, approval of super-grade positions, etc. A Notice of Rating may be recorded on Form SF-171 or Form OF-612 submitted in connection with an OPM examination. Examination and/or answer sheets are not filed in the OPF (OPM Form 4008.C (Discontinued));
- (8) Form OF-109, Separation Statement;
- (9) Security Clearance;
- (10) Form SF-3102, Designation of Beneficiary (Federal Employees' Retirement

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System (FERS));

- (11) Form SF-2822, Request for Insurance (Federal Employees' Group Life Insurance (FEGLI) Program);
- (12) Form SF-2823, Designation of Beneficiary (FEGLI);
- (13) Request for Outside Hire Approval memorandum (if any, file behind Form SF-50, Notification of Personnel Action (Appointment));
- (14) Form DS-1507, Notification of Security Clearance Eligibility; also clearances for 180 days and those for nonsensitive positions (Form OF-10 (Discontinued));
- (15) Form DS-1897, Certificate of Security Authorization for Access;
- (16) Seasonal Employment Statement of Understanding and Agreement;
- (17) Form SF-2817, Life Insurance Election;
- (18) Pre-Appointment Certification Statement for Selective Service Registration;
- (19) Form SF-61, Appointment Affidavits;
- (20) Form SF-61-B, Declaration of Appointee;
- (21) Form SF-2809, Health Benefits Election Form (Federal Employees' Health Benefits Program (FEHB));
- (22) Form SF-2810, Notice of Change in Health Benefits Enrollment;
- (23) Form SF-50-B, Notification of Personnel Action (marginally punched);
- (24) Federal Pay Raise Notification (ADP printout);
- (25) Form SF-182, Request, Authorization, Agreement and Certification of Training (as of 9/1998 no longer filed in OPF maintained by training vendor and employee);
- (26) Continued Service Agreement;
- (27) Mustang Agreement;
- (28) Form DS-755, Request for Training (as of 9/1998 no longer filed in OPF);
- (29) OPM Form 1528, Notification of Earnings for Medicare Eligibility (Discontinued);
- (30) Form SF-2815, Employee Service Statement (Discontinued);
- (31) Form SF-2821, Agency Certification of Insurance Status (FEGLI);
- (32) OPM Form 1514, Military Deposit Worksheet;
- (33) TSP-1, Thrift Savings Plan Election Form;
- (34) OPM Form 1555, FERS (Discontinued);
- (35) Form SF-1150, Record of Leave Data (employee departing from agency);
- (36) Form SF-1153, Claim for Unpaid Compensation of Deceased Civilian

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Employee (filed behind NOA 350 Form SF-50);

(37) Supervisory/managerial probation; and

(38) Certification of Hours Worked (if any, behind Form SF-50 (appointment)).

## **3 FAH-1 H-2356.2 Left (Temporary) Side of the Official Personnel Folder (OPF)**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Civil Service Employees)*

The following documents are filed on the left (temporary) side of the Civil Service official personnel folder (OPF):

- (1) Form DS-1031-A, Biographic Data Sheet (U.S. Department of State);
- (2) Form SF-52, Request for Personnel Action (without supporting documents);
- (3) Form OF-8, Position Description (PD) (two most recent PDs);
- (4) Department of State Conditions of Employment;
- (5) Department of State—Status of Federal Employees' Group Life Insurance (FEGLI) and Federal Employees' Health Benefits Program (FEHB);
- (6) Reprimand or Warning letter(s);
- (7) Form OPM 1495, Financial Eligibility Statement for Student and Summer Aid Programs (Discontinued);
- (8) Offer of Employment;
- (9) Conflict-of-Interest Statement (Memorandum from Office of the Legal Adviser (L));
- (10) Form SF-1152, Designation of Beneficiary (Unpaid Compensation of Deceased Civilian Employee);
- (11) Travel Agreement for New Employee;
- (12) TMFOUR—Travel Message;
- (13) Retirement Agreement;
- (14) Foreign Service Residence and Dependency;
- (15) Unemployment Insurance Benefits;
- (16) Service Computation Date Adjustment (worksheet);
- (17) Form I-9, Employment Eligibility Verification (Department of Homeland Security, U.S. Citizenship and Immigration Service);
- (18) Student Loan Repayment Agreement;
- (19) Form SF-3108, Application to Make Service Credit Payment (for Civil

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Service Federal Employees Retirement System);

- (20) Review of Expert/Consultant Worksheet/Approval Memo;
- (21) Justification Checklist and Approval Form;
- (22) PAC Memo and Agreement; and
- (23) Certification of Temporary Need.

### **3 FAH-1 H-2356.3 Right (Permanent) Side of the Employee Performance Folder (EPF)**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Civil Service Employees)*

The following documents are filed on the right (permanent) side of the Civil Service employee performance folder (EPF):

- (1) Form DS-1966, Employee Performance Plan, Progress Review and Appraisal Report (General Schedule, Senior Level and Prevailing Rate Employees);
- (2) Form DS-1816, Merit Pay Employee Performance Appraisal (Discontinued);
- (3) Form DS-1786-C, Upward Mobility Progress Evaluation Report (Discontinued);
- (4) Form DS-1765, Guidelines for Issuing a Performance Improvement Plan (Civil Service Employee);
- (5) Documentation submitted by the employee to clarify or refute statements in the Performance Appraisal Report; and
- (6) Inspector's Evaluation Reports.

### **3 FAH-1 H-2356.4 Left (Temporary) Side of the Employee Performance Folder (EPF)**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Civil Service Employees)*

The following documents are filed on the left (temporary) side of the Civil Service employee performance folder (EPF):

- (1) Documentation and justification for performance and honor awards (e.g., quality step increases (QSI), cash awards based on performance);
- (2) Form DS-1764, Evaluation of Probationary Employee;
- (3) Form DS-1798, Certification of Completion of Probationary Period for Supervisors and Managers, and supporting documentation;

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- (4) Letters of commendation or achievement which are performance based—may be from the Department of State or other Federal Government officials, Members of Congress, private citizens, etc.; and
- (5) Written recommendations for training.

## **3 FAH-1 H-2357 EXPERTS AND CONSULTANTS**

### **3 FAH-1 H-2357.1 Right (Permanent) Side**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Experts and Consultants)*

The following documents are filed on the right (permanent) side of the experts and consultants official personnel folder (OPF):

- (1) Prior Federal civilian service or transcript(s) thereof;
- (2) Form SF-171, Application for Federal Employment; Form OF-612, Instructions for Optional Application for Federal Employment; or resumé;
- (3) Form SF-86, Questionnaire for National Security Positions (not filed if revisions date after 8/1964);
- (4) Official justification showing need for and qualifications of consultants/experts (file behind Form SF-50, Notification of Personnel Action (appointment));
- (5) Memo containing necessary approval for appointment;
- (6) Form JF-1, Conflict of Interest Statement (Discontinued);
- (7) Form DS-1507, Notification of Security Clearance Eligibility;
- (8) Consultant Certificate;
- (9) Form SF-61, Appointment Affidavits;
- (10) Form SF-50-B, Notification of Personnel Action, with position description attached; and
- (11) Federal pay raise notification (ADP printout).

### **3 FAH-1 H-2357.2 Left (Temporary) Side**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Experts and Consultants)*

The following documents are filed on the left (temporary) side of the experts and consultants official personnel folder (OPF):

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- (1) Form DS-1031-A, Biographic Data Sheet (U.S. Department of State);
- (2) Form SF-52, Request for Personnel Action (without supporting documents); and
- (3) Form SF-1152, Designation of Beneficiary (Unpaid Compensation of Deceased Civilian Employee).

## **3 FAH-1 H-2358 FOREIGN SERVICE EMPLOYEES**

### **3 FAH-1 H-2358.1 Right (Permanent) Side of the Official Personnel Folder (OPF) (Administrative)**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service Employees)*

The following documents are filed on the right (permanent) side of the Foreign Service official personnel folder (OPF) (administrative):

- (1) Prior Federal civilian service or transcript(s) thereof;
- (2) Form SF-75, Request for Preliminary Employment Data;
- (3) Form SF-171, Application for Federal Employment; Form OF-612, Instructions for Optional Application for Federal Employment; or resumé;
- (4) Form SF-144, Statement of Prior Federal Service (civilian and military);
- (5) Form DD-214, Report of Separation from the Armed Forces of the United States; also Veteran's Preference Claims;
- (6) Form DSP-80, Statement Regarding Actions on Behalf of Foreign Principals (Discontinued);
- (7) OPM—Notice of Ratings, Notice of Results, approval of super-grade positions, etc. A Notice of Rating may be recorded on Form SF-171 or Form OF-612 submitted in connection with Office of Personnel Management (OPM) examination (examinations and answer sheets are not filed in the OPF);
- (8) Form OF-109, Separation Statement;
- (9) Form DS-1507, Notification of Security Clearance Eligibility; also clearances for 180 days, and those for nonsensitive positions (Form OF-10) (Discontinued);
- (10) Form SF-3102, Designation of Beneficiary (Federal Employees' Retirement System (FERS));
- (11) Form SF-2823, Designation of Beneficiary (Federal Employees' Group Life Insurance (FEGLI));

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- (12) Request for Outside Hire Approval Memorandum (if any, behind Form SF-50, Notification of Personnel Action (appointment)); Foreign Service Assignments and Policy Commitments;
- (13) Statement of Understanding of Terms of Employment;
- (14) TMFOUR—Travel Message;
- (15) Ambassador's Letter of Resignation;
- (16) Seasonal Employment Statement of Understanding and Agreement;
- (17) Form SF-2817, Life Insurance Election (FEGLI);
- (18) Pre-Appointment Certification Statement for Selective Service Registration;
- (19) Form SF-61, Appointment Affidavits;
- (20) Form SF-61-B, Declaration of Appointee;
- (21) Form SF-2809, Health Benefits Election Form (Federal Employees' Health Benefits Program (FEHB));
- (22) Form SF-2810, Notice of Change in Health Benefits Enrollment (FEHB);
- (23) Form SF-50;
- (24) Federal Pay Raise Notification (ADP printout);
- (25) Form SF-182, Request, Authorization, Agreement and Certification of Training (as of 9/1998 no longer filed in OPF);
- (26) DS-755, Request for Training (as of 9/1998 no longer filed in OPF);
- (27) OPM Form 1528, Notification of Earnings for Medicare Eligibility (Discontinued);
- (28) Form SF-2815, Employee Service Statement (Discontinued);
- (29) Form SF-2821, Agency Certification of Insurance Status (FEGLI);
- (30) Form SF-2822, Request for Insurance (FEGLI);
- (31) OPM Form 1514, Military Deposit Work Sheet;
- (32) Waiver of Salary Payment;
- (33) Form TSP-1, Thrift Savings Plan Election Form;
- (34) OPM Form 1555, FERS (Discontinued);
- (35) Form SF-1150, Record of Leave Data;
- (36) Form SF-1153, Claim for Unpaid Compensation of Deceased Civilian Employee filed (behind NOA 350 Form SF-50);
- (37) Federal Retirement Reconsideration Form (Decision to Maintain Current Retirement Coverage);
- (38) Senior Foreign Service Election; and

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(39) Certification of Requisite Experience.

## **3 FAH-1 H-2358.2 Left (Temporary) Side of the Official Personnel Folder (OPF) (Administrative)**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service Employees)*

The following documents are filed on the left (temporary) side of the Foreign Service official personnel folder (OPF) (administrative):

- (1) Form DS-1031-A, Biographic Data Sheet (U.S. Department of State);
- (2) Form SF-52, Request for Personnel Action (without supporting documents);
- (3) Form OF-8, Position Description;
- (4) Department Conditions of Employment;
- (5) Department of State—Status of Federal Employees' Group Life Insurance (FEGLI) and Federal Employees' Health Benefits Program (FEHB);
- (6) OPF Form 1495, Financial Eligibility Statement for Student and Summer Aid Programs;
- (7) Offer of Employment;
- (8) Conflict of Interest Statement (Memorandum from the Office of the Legal Adviser (L));
- (9) Form SF-1152, Designation of Beneficiary (Unpaid Compensation of Deceased Civilian Employee);
- (10) Travel Agreement for New Employee;
- (11) TM2, TM3 or TM8—Travel Message;
- (12) Retirement Agreement;
- (13) Foreign Service Residence and Dependency Report;
- (14) Unemployment Insurance Benefits;
- (15) Service Computation Date Adjustment;
- (16) Form I-9, Employment Eligibility Verification (Department of Homeland Security, U.S. Citizenship and Immigration Service);
- (17) Student Loan Repayment Agreement;
- (18) Form SF-2803, Application to Make Deposit or Redeposit;
- (19) Notification of Death/Travel;
- (20) Confirmation of Approval of Extension of Secondment Letter;
- (21) Interim Civil Service Retirement Election Letter;

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- (22)SF-2821, Agency Certification Statement of Insurance Status (Federal Employees' Retirement System (FERS));
- (23)Foreign Service Assignments and Policy Commitments;
- (24)DS-1897 Certification of Security Authorization for Access;
- (25)Agreement to Join the Foreign Service;
- (26)Continued Service Agreement; and
- (27)Mustang Agreement.

### **3 FAH-1 H-2358.3 Right Side of the Performance Folder**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service Employees)*

- a. The form numbers cited in this section are those in current use but other numbers may appear for equivalent forms in preceding or subsequent years.
- b. The following documents are filed on the right side of the Foreign Service performance folder:
  - (1) Form DS-1829, U.S. Foreign Service Employee Evaluation Report; Form DS-5055, U.S. Foreign Service Employee Evaluation Report (for FS-01 and Senior Foreign Service tenured employees only);
  - (2) Form DS-917, Inspector's Evaluation Report;
  - (3) Statements in lieu of regular performance;
  - (4) Employee's rebuttal, if any, to performance report;
  - (5) Reports on full-time training not covered by regular performance reports, e.g., long-term language or university training, War College or other military institution assignments, senior or special research seminars, etc. (these may be submitted on Form DS-1106, Training Evaluation Report, by memorandum or in letter form);
  - (6) Official Military Performance Appraisals (documenting a period of uniformed service during Foreign Service appointment), including the employee's personal statement;
  - (7) Special training evaluation reports on such functions as consular, communications and records, consulting operations, etc;
  - (8) Memoranda or statements authorizing the removal of specific right-side documents and filed in lieu thereof;
  - (9) Form DS-1822, Detail Evaluator's Report;
  - (10)Form DS-1791, Supplementary Performance Report Form; (Discontinued);

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- (11) Memoranda of Performance prepared in lieu of Form DS-1829; and  
(12) Report of Training—four (4) weeks or more.

## **3 FAH-1 H-2358.4 Left Side of the Performance Folder**

*(CT:POH-126; 03-23-2007)*

*(State Only)*

*(Applies to Foreign Service Employees)*

- a. The form numbers cited in this section are those in current use but other numbers may appear for equivalent forms in preceding or subsequent years.
- b. The following documents are filed on the left side of the Foreign Service performance folder:
  - (1) Approved nominations for honor awards, MSIs, quality step increases (QSI), and cash awards for employee suggestions adopted;
  - (2) Official commendations from State personnel, other Federal agencies, Members of Congress, White House, international organizations, etc.;
  - (3) Approved military award nominations (for a period of uniformed service during Foreign Service appointment);
  - (4) Official reprimands and warnings, (excluding security violation report forms and letters of charges);
  - (5) Memoranda or letters to employee commending or criticizing the employee's ratings on subordinates or for delinquent reports;
  - (6) Training and/or certificates relating to short-term, on-the-job or extracurricular training, including orientation courses, which are not covered by evaluation reports filed on right side of folder;
  - (7) Form DS-755, Request for Training (as of 9/1998 no longer filed in official personnel folder (OPF));
  - (8) Other documents specifically requested by employee and approved by the Office of Performance Evaluation, Bureau of Human Resources (HR/PE), for inclusion, including performance evaluations from other personnel systems pursuant to 3 FAH-1 H-2812.2-2;
  - (9) All official commendations; and
  - (10) Form DS-1354, Language Proficiency Report (as of 1/2003 no longer filed in folder).

## **3 FAH-1 H-2359 ELIGIBLE FAMILY MEMBER (EFM)**

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**3 FAH-1 H-2359.1 Right (Permanent) Side of the Eligible Family Member (EFM) Official Personnel Folder (OPF) (Administrative)**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to EFM Employees)

The following documents are filed on the right side of the eligible family member (EFM) official personnel folder (OPF):

- (1) Prior Federal civilian service or transcripts thereof;
- (2) Form SF-171, Application for Federal Employment; Form OF-612, Instructions for Optional Application for Federal Employment, or resumé;
- (3) Form SF-144, Statement of Prior Federal Service (civilian and military);
- (4) Form DS-1507, Notification of Security Clearance Eligibility;
- (5) Form SF-61, Appointment Affidavits;
- (6) Telegraphic Request for Personnel Action;
- (7) Form SF-50, Notification of Personnel Action;
- (8) Federal pay raise notification (ADP printout);
- (9) Form SF-1150, Record of Leave Data (employee departing from agency); and
- (10) Pre-Appointment Certification Statement for Selective Service Registration.

**3 FAH-1 H-2359.2 Left (Temporary) Side of the Eligible Family Member (EFM) Official Personnel Folder (OPF) (Administrative)**

(CT:POH-126; 03-23-2007)

(State Only)

(Applies to EFM Employees)

The following documents filed on the left side of the eligible family member (EFM) official personnel folder (OPF):

- (1) Performance documents (filed under cover sheet);
- (2) Form JF-57, Foreign Affairs Agencies Performance Appraisal Report for Overseas Temporary Resident and American Family Member Employees;
- (3) Form DS-755, Request for Training, and/or certificates relating to on-the-job or extracurricular training (as of 9/1998 no longer filed in OPF);
- (4) Official reprimands and warnings (excluding security violation report forms and letters of charges);

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- (5) Memoranda or letters to employees commending work performance;
- (6) Official commendations from State personnel, other Federal Agencies, etc.;
- (7) Other documents specifically requested by employee and approved by the hiring bureau;
- (8) Form SF-1152, Designation of Beneficiary (Unpaid Compensation of Deceased Civilian Employee);
- (9) Form I-9, Employment Eligibility Verification (Department of Homeland Security, U.S. Citizenship and Immigration Service);
- (10) Statement of Understanding (Temporary Appointment); and
- (11) Voluntary Separation Incentive Payment Statement.